

N A T I O N A L

E N D O W M E N T

F O R T H E

H U M A N I T I E S

Division of Preservation and Access

Preservation and Access

ANNUAL APPLICATION
DEADLINE: July 1

APPLICATION DEADLINE FOR PRESERVATION AND ACCESS

| Deadline | Notification | Projects Beginning |
|-----------------|---------------------|---------------------------|
| July 1 | April | May 1 |

Preliminary proposals: All applicants, particularly first-time applicants, are encouraged to submit preliminary drafts of proposals **no later than six weeks ahead of the deadline**, for consultation with program staff.

Send all applications to:

National Endowment for the Humanities
Division of Preservation and Access
1100 Pennsylvania Avenue, N.W., Room 411
Washington, DC 20506

Telephone: 202/606-8570

FAX: 202/606-8639

E-mail address: preservation@neh.gov

NEH information and forms are also available on the
World Wide Web at <http://www.neh.gov>

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Customer Service Standards

In assisting you as a prospective applicant, you can expect us to:

- o respond courteously and quickly to your requests for information about our grant programs;
- o be able to describe the programs that best suit your needs;
- o provide application instructions and forms that are clear and easy to use;
- o offer prompt and thoughtful advice and guidance in preparing your application;
- o explain accurately the procedures that would be used to evaluate your application and tell you when you could expect a decision.

In assisting you as an applicant, you can expect us to:

- o ensure that the evaluation of your application is fair, expeditious, and informed by the expert judgments of your peers;
- o notify you promptly of the decision on your application;
- o provide substantive reasons for the decision reached on your application;
- o give you helpful advice, if you are unsuccessful, on revising or resubmitting your application.

In assisting you as a grantee, you can expect us to:

- o provide you with an award document that is clear and easy to understand and that sets forth sensible reporting requirements;
- o provide the names of our staff members who will serve as contacts for your reports and for any assistance you may need;
- o answer promptly and satisfactorily all requests for information on NEH policies and procedures;
- o read and acknowledge promptly your reports on grant activities;
- o maintain a professional, helpful relationship with you as you carry your project to completion.

THE NATIONAL ENDOWMENT FOR THE HUMANITIES

In order “to promote progress and scholarship in the humanities and the arts in the United States,” Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities.

The Humanities

The act that established the National Endowment for the Humanities says “The term ‘humanities’ includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life.”

Organization of the Endowment

Grants are made through four divisions (Education Programs, Preservation and Access, Public Programs, and Research Programs) and two offices (Challenge Grants and the Federal/State Partnership).

Presidential Directives

The National Endowment for the Humanities participates in three government-wide Presidential Directives. Executive Order 12876 mandates federal efforts to help strengthen and ensure the long term viability of the nation’s Historically Black Colleges and Universities, Executive Order 12900 mandates federal efforts on behalf of educational excellence for Hispanic Americans, and Executive Order 13021 mandates increased accessibility of federal resources for Tribal Colleges. The NEH encourages applications that respond to these Presidential Directives.

WELCOME TO THE NATIONAL ENDOWMENT FOR THE HUMANITIES

“Democracy demands wisdom and vision in its citizens” --National Foundation on the Arts and the Humanities Act of 1965

The division encourages applications for projects that explore or resolve critical issues relating to the effective use of digital technology for preservation and access.

THE DIVISION OF PRESERVATION AND ACCESS

Mission and Priorities

The Division of Preservation and Access provides leadership and support for a sustained national effort to create, preserve, and increase the availability of resources that assist research, education, and public programming in the humanities and that are of critical importance to our cultural heritage.

Millions of books, serials, manuscripts, and documents are now at risk because of the fragility of their paper. Collections of sound recordings, still and moving images, and objects of material culture are similarly threatened by factors inherent to their physical structure or by the way in which they are being stored. Moreover, the productive use of the nation's resources is hampered by inadequate intellectual access to many significant collections and the need for research tools that will enhance their use. Through its grants, the division also recognizes the need for major reference works in the humanities that will organize and interpret complex bodies of information and thereby increase public understanding of the history and culture of our nation and the world.

The work of preservation and access inevitably rests on the professional knowledge of thousands of women and men who are responsible for the care of a vast array of collections held by institutions in every region of the country. This recognition informs the priority that the division places on the support of major education and training programs and research and demonstration projects that will help establish a permanent infrastructure of knowledge for preservation and access activities in the United States.

It is clear that digital technology will dramatically affect the way in which cultural resources are preserved, distributed, and used in the coming years. It also seems clear that the responsible deployment of digital technology for these purposes on a national scale will ultimately depend on achieving a consensus of best practice to ensure continuing access to digitized resources well into the future. The division will therefore encourage and place a high priority on applications for projects that explore or resolve critical issues relating to the effective use of digital technology for preservation and access.

What Types of Projects Are Supported?

Preserving and Creating Intellectual Access to Collections

Preservation Microfilming of Brittle Books and Serials

At the request of Congress, NEH embarked on a special initiative in 1989 to

preserve the knowledge contained in brittle books and other deteriorating paper-based research materials. Over a twenty-year period, the Endowment anticipates supporting projects that will preserve on microfilm the intellectual content of approximately three million volumes printed between 1800 and 1950.

The United States Newspaper Program

The division administers, in cooperation with the Library of Congress, the United States Newspaper Program (USNP), a national effort to locate, catalog, and preserve on microfilm the nation's newspapers. Projects are conducted on a state-by-state basis by a single institution within each state.

Because there are special technical and eligibility requirements for conducting a USNP project, applicants must contact the division's staff before developing a proposal.

Special Collections and Archives

Proposals for projects to preserve and create intellectual access to special collections and archives may encompass: the cataloging of printed works; the arrangement, description, and preservation of archival and manuscript collections; and the cataloging and preservation of graphics, still and moving images, and recorded sound collections (including their transfer to more stable media such as film stock or reel-to-reel audio tape).

The division also supports projects to conduct archival surveys that will identify and increase the availability of significant humanities resources and to develop oral history collections of cultural importance in accordance with the practices of the Oral History Association.

The National Heritage Preservation Program

The National Heritage Preservation Program (NHP) responds to the problems facing institutions holding significant collections of archaeological and ethnographic objects, decorative and fine art, textiles, and historical artifacts. Grants are made to stabilize material culture collections and the materials that directly document the collections (such as field notes, site maps, and catalog records) through the purchase of storage furniture and rehousing of objects, the improvement of environmental conditions (including climate control), and the installation of security, lighting, and fire-prevention systems. Renovation costs that are incurred for the temporary storage of collections during the implementation of these activities are also eligible for support.

Funding also may be requested to catalog and provide enhanced descriptions of material culture collections held by museums, historical

Grants are made to stabilize material culture collections through the purchase of storage furniture and rehousing of objects, the improvement of environmental conditions (including climate control), and the installation of security, lighting, and fire-prevention systems.

organizations, and other institutions. An NEH documentation grant enables an institution to establish a level of intellectual control over its holdings that will significantly increase their availability for research, interpretive exhibitions, and other humanities programs.

Education and Training Programs

The division provides grants for education and training programs at the national or regional (multistate) level that focus on the care of library, archival, and material culture collections. Awards are also made to create or enhance regional preservation field services, which offer surveys, consultancies, training courses, and informational materials to the staff of institutions responsible for the care of humanities collections.

Research and Demonstration Projects

Proposals are accepted to develop new preservation procedures and techniques or engage issues that have a national impact on libraries, archives, and museums. Applications are encouraged for projects that will establish standards or a consensus of best practice for the use of electronic technology for preserving or creating trans-institutional access to humanities resources.

Research Tools and Reference Works

Support is available for projects to create dictionaries, encyclopedias, historical or linguistic atlases, databases, textbases, bibliographies, and other research tools and reference works of major importance to the humanities.

Size of Awards and Cost Sharing Expectations

| Type of Project | Range of NEH Awards 1998-1999 | Applicant's Share of Total Cost |
|-------------------------------------|----------------------------------|------------------------------------|
| Brittle Books and Serials | \$325,000 - \$999,676 | 33 percent |
| United States Newspaper Program | \$83,199 - \$849,100 | 20 percent |
| Special Collections and Archives | \$22,000 - \$243,000 | 50 percent |
| Stabilization of Collections | \$28,472 - \$700,000 | 50 percent |
| Documentation | \$90,000 - \$169,000 | 50 percent |
| Education and Training Programs | \$121,400 - \$602,000 | 20 percent |
| Research and Demonstration Projects | \$123,361 - \$388,100 | 20 percent |
| Research Tools and Reference Works | \$30,000 - \$639,100 | 33 percent |

Applicants for stabilization projects may request support for up to five years. Grants in other categories are normally two to three years in duration.

Who May Apply for a Grant?

Any U.S., nonprofit, tax-exempt organization, institution, or consortium is eligible to apply to the Division of Preservation and Access. When two or more institutions or organizations collaborate on a project, one of them must serve as the lead applicant and administer the grant on behalf of all the participating entities. To be eligible to receive NEH funding, applicants must have obtained tax-exempt status by the time funding decisions are made. U.S. citizens are also eligible to apply for grants to create research tools and reference works, as are foreign nationals who have been legal residents in the United States or its jurisdictions for a period of at least the three years immediately preceding the submission of the application.

What Help Is Available?

The staff of the Division of Preservation and Access welcomes the opportunity to discuss ideas for projects and their eligibility, and we strongly encourage potential applicants to contact us well before the grant deadline. Lists of funded projects and copies of successful proposals are available upon request. The staff will also read preliminary proposals (which should be received at least six weeks before the deadline) and comment on the extent to which the narrative and budget contain the information required by evaluators to assess the project's importance and viability. The staff's response to a draft proposal does not become a part of an application's formal review.

What Activities Are Not Supported?

The following activities or projects are not eligible for funding by the Division of Preservation and Access:

- * the preservation, organization, or description of materials that are the responsibility of a federal government agency, are privately held, or are not freely accessible for research,
- * the retrospective conversion of a library's general card catalog,
- * the purchase of collections,
- * the creation of programs or the purchase of computer systems for records management,
- * the restoration or transfer of theatrical motion picture feature films,

The staff of the Division of Preservation and Access welcomes the opportunity to discuss ideas for projects and their eligibility, and we strongly encourage potential applicants to contact us well before the grant deadline.

A proposal that is not recommended for funding may be revised and resubmitted at a future deadline and will be evaluated as a new application.

- * the restoration of historic structures or the preservation of the built environment,
- * the installation of climate control, security, lighting, and fire protection systems as a component of a project to construct a new building, or for library and archives collections,
- * the stabilization of archaeological sites,
- * the conservation treatment of individual works of art and artifacts,
- * the maintenance or upgrading of computer systems, and
- * the preservation or cataloging of United States newspapers outside the purview of a statewide USNP project.

The Review Process

Each application to NEH is assessed by knowledgeable persons outside the Endowment who are asked for their judgments about the quality and significance of the proposed project. About 650 scholars, professionals in the humanities, and other experts serve on approximately 125 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. The Division of Preservation and Access supplements the judgment of panelists with individual written reviews solicited from specialists who have an extensive understanding of the specific subject area or technical aspects of the application under review.

The advice of the panels and outside reviewers is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then presented to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets three times a year to advise the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

The NEH notifies applicants by letter once a final decision on proposals has been reached. Applicants may request a letter from the staff that will convey the reasons for the Endowment's decision. A proposal that is not recommended for funding may be revised and resubmitted at a future deadline and will be evaluated as a new application.

Evaluation Criteria

Evaluators are asked to apply the following criteria in evaluating preservation and access applications:

- * the **significance** and potential impact of the project, either for creating, preserving, and establishing intellectual access to important humanities resources or for improving the infrastructure for preservation and access activities in the country's cultural institutions,
- * the soundness of the project's **methodology**, including its adherence to accepted professional and technical standards of practice,
- * the viability, efficiency, and productivity of the project's **plan of work**,
- * the professional training and experience of the project's **staff** in relation to the activity for which support is requested, and
- * the appropriateness of the project's **budget**.

GRANTEE RESPONSIBILITIES

Before any work is done in developing a proposal, the project director and the authorizing official of the applicant institution should review the following section on grantee responsibilities to determine if their institution is able to comply with these requirements. **The authorizing official is also advised to review the material on certifications in the appendix to this brochure before signing Block 12 of the application cover sheet.**

The grantee organization is required to

- o have a sound financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost sharing contributions and that monitors the expenditure of these funds against the approved budget;
- o carry out project activities in accordance with the workplan provided in the approved application—changes in key project personnel, project scope or design, or in the arrangements to contract out project activities must be submitted to NEH in advance for review and approval;
- o have in place a written organizational prior approval system for prior review and approval of all grant actions and expenditures that the grantee institution is delegated authority to approve;
- o maintain adequate documentation of the time spent by all project personnel on grant activities;
- o have an audit performed that meets the requirements of Office of Management and Budget Circular A-133 whenever \$300,000 or more in federal funds is expended during a fiscal year;
- o ensure that all procurement transactions are conducted in a manner that provides, to the maximum extent practical, open and free competition and that for purchases in excess of \$100,000 any use of sole-source contracts is fully justified and documented;
- o return to NEH a portion of the income earned on services and products resulting from grant activities when this is required by the terms and conditions of an award; and
- o acknowledge NEH support in all materials publicizing or resulting from grant activities.

APPLICATION INSTRUCTIONS

The Elements of an Application

- * **Application Cover Sheet.** See instructions for completing the Application Cover Sheet on page 25.
- * **One-Page Summary.** Describe briefly the project's principal activities and expected results. Provide a quantitative measure of the project's outcome: for example, the number of volumes to be microfilmed, bibliographic records to be created, participants in education and training activities, objects to be stabilized, expected entries for a reference work; linear or cubic footage of collections to be arranged and described.
- * **Table of Contents.** List all sections of the proposal including its appendices and provide page numbers for them.
- * **The Narrative.** All proposals should contain a narrative of **no more than 25 pages** that coherently and succinctly describes the project's significance and plan of work.

Prospective applicants are advised to review the general criteria that will be used to evaluate proposals (page 9) as well as the specific sections relating to the distinctive kinds of information required in an application's narrative (page 12).

Applications for projects involving electronic technologies other than basic word processing should consult the section, "Guidance for Projects Using Digital Technology" (page 13).

- * **Project Budget.** See instructions and NEH forms beginning on page 27.
- * **Appendices.** See information on page 21. Letters of support are not required but, if solicited, may be included as one of the appendices to the proposal.
- * **History of Grants.** Use the form on page 37 to list any federal or nonfederal sources of support (including awards from the NEH) for activities related to previous phases of this project.
- * **List of Project Participants and Members of Advisory Board.** See form on page 35.

All proposals should contain a narrative of no more than 25 pages that coherently and succinctly describes the project's significance and plan of work.

A proposal for a project that will require more than three years to complete should contain a description of the intended scope and duration of the entire project as well as of the specific accomplishments or products of the grant period for which funding is requested.

- * **List of Suggested Evaluators.** Use the form on page 39 to list the names and addresses of eight people who could provide an informed and impartial evaluation of the proposal.

A checklist and instructions for assembling the complete application may be found on the inside back cover of the guidelines.

The Application Narrative

The narrative of an application must contain sections that discuss (in the following order) the project's

Significance

Applicants must make a compelling case for the importance of the project and justify its need and priority on the basis of its potential value for research, education, or public programming in the humanities.

For projects to preserve, stabilize, and/or provide intellectual access to collections, applicants should describe the nature, size, intellectual content, current and past use, level of description, and physical condition of the materials, and the relation of the collection to similar holdings in the U.S.

History

Provide a concise account of the project's history, which might include a brief discussion of the preliminary research or planning that has been conducted as a basis for implementation. A proposal for a project that will require more than three years to complete should contain a description of the intended scope and duration of the entire project as well as of the specific accomplishments or products of the grant period for which funding is requested.

Applications to support the next phase of a project previously supported by NEH should indicate clearly what has been accomplished in the current or past grant and the degree to which the project's productivity met established goals. If the project has produced publications or information in electronic form, the proposal should include appropriate citations. Print runs, sales, and royalties relating to the project's previously completed work should be identified.

Methodology and Standards

Explain and justify the procedures employed in accomplishing the goals of the project. As appropriate, discuss how materials will be preserved or how information will be organized, presented, and disseminated in a manner that reflects national standards and accepted professional practices. It is essential for applicants whose projects will depart from usual standards and procedures to

provide a convincing rationale for such decisions with regard to the intellectual goals of the project and the expectations of its users.

Plan of Work

Describe in detail the organization and implementation of the project. Include a schedule that indicates what will be accomplished by members of the project's staff during each stage of the project.

Applicants must fully justify the need for any major equipment selected for the project. If the equipment will be used less than full time on the project, the costs should be prorated. In addition, indicate the project's costs per relevant measure (such as volumes, pages, and frames for microfilming projects, number of bibliographic records, or linear or cubic feet for archival processing projects).

Staffing

Identify the project's staff, including consultants, and describe their duties and qualifications for the specific responsibilities assigned to them. Indicate the amount of time that the principal members of the project's staff will devote to the project.

All people directly involved in the conduct of the grant, whether their salaries are paid by NEH or cost-shared, must be named in the budget and their anticipated commitments of time must be indicated.

Dissemination

As relevant to the nature of the project, describe the format of the project's final product and discuss its appropriateness to the subject matter or materials and the audience for whom it is intended. How will the results of the project or publicity about its achievements be disseminated? Any arrangement with a publisher must be fully explained and the estimated price of the final product should be noted in the proposal.

If the project involves materials currently under copyright, the application must include a statement confirming that permission has been secured for their use and dissemination or, in the case of an institutional collection, a description of the procedure that will govern requests to consult the materials and subsequently use them in scholarly publications or programs.

Guidance for Projects Using Digital Technology

Proposals that involve digital technology beyond basic word processing should specify in detail the reasons for selecting the hardware and software to be employed in preparation, processing, or support for access; justify storage

Applicants should discuss how the results of the project or publicity about its achievements will be disseminated.

***D**escribe the institution's plans for storing, maintaining, and protecting the data, and, where applicable, for the preservation or other disposition of the original source material.*

media and digital formats in terms of their appropriateness to the material, technical feasibility, and consonance with the project's goals; refer to standards and guidelines for best practice that will be followed; and discuss aspects of the proposal that will ensure interoperability with similar or related activities.

Applicants seeking support for the digital conversion of research materials should make a cogent argument that conversion would significantly enhance access to and use of the materials. Applicants should indicate how the material will be prepared for processing and how it will be processed, whether through scanning, keyboarding, optical character recognition, or conversion from another electronic format. Applicants should also discuss the methods for formatting the material and ensuring quality control. Where appropriate, indicate the levels of resolution, compression, image enhancement, and accuracy of textual conversion or transcription required to achieve the project's goals. For text with markup, explain the rationale for the choice of tagging scheme and the level of the markup. Provide a rationale for the choice of any software to be used for data entry, verification, or quality control. Include an account of the professional experience and training of the staff to implement the technical requirements of the project.

Explain the organization of the digitized material or database, including file structure, system capabilities, user access, and documentation. (Include in an appendix sample data entry sheets, records, and screen displays.) Where appropriate, discuss how the technical framework proposed is compatible with the environments and activities of the user community.

Describe the institution's plans for storing, maintaining, and protecting the data, and, where applicable, for the preservation or other disposition of the original source material. Indicate the methods for ensuring that accidental or unauthorized changes or replacements do not occur in the electronic files. Discuss both the technical and the administrative provisions for ensuring access to the information as far into the future as possible (for example, the maintenance of archival files, independent of the delivery or presentation software, that would allow transfer of the digitized material to future media, and the institutional capabilities and commitment for providing long-term access to the materials). In addition, indicate who controls the rights to disseminate digitized material and provide evidence that appropriate permissions have been secured. If there are any restrictions on access for the original materials, applicants should discuss how these restrictions will be honored in the digital version of the materials.

Institutions receiving grants for projects that develop software are expected to publish or provide on request technical documentation concerning its

development and implementation and indicate plans for its continuing maintenance and updating.

Special Considerations

The following information should also be provided or taken into account in preparing an application for specific types of projects supported by the Division of Preservation and Access.

Preserving and Creating Access to Collections

Applicants must provide an assurance that collections processed with NEH support will be stored in an environment that will ensure their long-term availability. For work contracted out-of-house, applicants should submit at least two cost estimates.

Preservation Microfilming

Proposals to preserve **brittle books and serials** should indicate the extent to which preservation microfilm copies have already been made of volumes held in the collection(s) selected for the project.

All **microfilming** must adhere to applicable ANSI/AIIM specifications and recommended practices; the application's narrative must explain how these will be applied for the preparation, filming, quality control, and storage of all materials. A schedule of quarterly production benchmarks should be included. Projects must produce a first-generation preservation master, a second-generation duplicating master, and a third-generation service master. Two cost estimates from experienced vendors should be submitted, whether or not the work will be performed in-house. Appropriate records of reformatted materials must be entered into one of the national bibliographic utilities. The application must confirm that all service copies of microfilm created with NEH funds will be circulated to users on interlibrary loan and copies of microfilmed materials will be available, as copyright permits, for purchase at cost by other institutions or individuals.

As part of a project focusing on the preservation microfilming of published materials, an institution may include simple repair, rehousing, or reboxing of items that have been filmed (when such action is deemed appropriate to the nature of the materials or needs of researchers) or of volumes from the targeted collection that do not qualify for filming because of their condition.

The application must confirm that all service copies of microfilm created with NEH funds will be circulated to users on interlibrary loan and copies of microfilmed materials will be available, as copyright permits, for purchase at cost by other institutions or individuals.

All applicants must show that the holdings have been appraised and selected according to archival practice.

Special Collections and Archives

Support for **archival processing projects** is generally limited to the preparation of MARC records and folder-level finding aids. Proposals to provide item-level descriptions of archival collections of photographs, films, videos, and sound recordings must justify the need for such detailed access. In all cases, collection-level records must be entered into one of the national bibliographic utilities. It is expected that researchers will be able to use the material on site or obtain copies at the lowest possible cost, insofar as the condition of the material allows. Applicants who intend to place finding aids on the Internet should employ the Encoded Archival Description (EAD) or explain why they are departing from this procedure.

All applicants (including those seeking support for the preservation of Congressional papers or collections of state, municipal, and local government records) must show that the holdings have been appraised and selected according to archival practice.

Archival Surveys

Proposals for projects to implement surveys to locate primary resources of significance to the humanities should indicate provisions that have been made for the possible transfer of materials to an appropriate repository. The means of compiling and disseminating information about the location of surveyed materials and the results of a preliminary investigation of the surveyed materials also should be discussed. Letters confirming the willingness of organizations or individuals that will be the focus of the survey should be supplied in an appendix.

Oral History Projects

Applications to develop oral history interviews should demonstrate adherence to the practices outlined in the most recent guidelines of the Oral History Association and include the following components: a list of prospective interviewees with evidence that those most important to the project have formally agreed to be interviewed; an outline of topics on which the interviews will focus; and a discussion of how the interviews will complement existing documentary resources.

National Heritage Preservation Projects

For projects to stabilize material culture collections, applicants should describe the present conditions that threaten the preservation of collections, the planning activities that have been conducted in preparation for the project, and the institutional context for the project. When the project involves the

installation of new systems and equipment, these should be fully described and a rationale for choices made should be presented. Any steps that will be necessary to manage and protect collections during the project should be discussed. Simple floor plans showing existing and proposed storage areas and furniture layouts (or other similar improvements) also should be provided.

For environmental improvement projects, specify the current conditions and the conditions that will be achieved as a result of the grant. Discuss the potential impact of the proposed relative humidity and temperature levels on the building's structure. For all environmental improvement projects, a grantee will be expected to monitor and keep records of relative temperature and humidity levels for at least one year after a system's installation and be prepared to provide NEH with an evaluation of the systems's performance. Applications to stabilize collections of Native American objects should indicate the institution's compliance with NAGPRA and other relevant national and local statutes and regulations.

In applications for stabilization projects the following information should be included as appendices.

A General Conservation Survey

A conservation assessment report on the policies, practices, and environmental conditions that govern the care and preservation of the applicant's collections should accompany all applications. If there are multiple survey reports, include only those relevant to the project's activities. (Applicants are urged to discuss the nature and scope of such attachments with the division's staff.)

Bids or Estimates

For work contracted out-of-house, institutions should, if feasible, submit at least two cost estimates. For example, applicants would be expected to seek at least two bids for storage furniture but not for preliminary architectural or engineering drawings. Estimates for the installation of climate control, security, lighting, and fire detection and suppression systems may be based on schematic design. The rationale for the choice of vendor/contractor should be supplied in the narrative.

Technical Specifications for Equipment or Systems

Attach product data and specifications for proposed equipment and systems. Please consult the division's staff before sending blueprints or other bulky specifications.

***F**or environmental improvement projects, specify the current conditions and the conditions that will be achieved as a result of the grant.*

In preparing your proposal and projecting your budget, be advised that any renovation projects funded, in whole or in part, by federal funds are subject in their entirety to the Davis-Bacon Act as amended, 40 U.S.C. 276a-276a-5.

Letter from the State Historic Preservation Officer

Federal funds may not be released for renovation projects affecting buildings or properties listed or eligible for listing in the National Register of Historic Places until such projects have been reviewed by the State Historic Preservation Officer and, if necessary, by the Advisory Council on Historic Preservation. All grantees are required to submit a letter of review from their state Historic Preservation Officer in accordance with Section 106 of the National Historic Preservation Act of 1966 (16 USC 470f) as amended, commenting on the impact of the proposed project. If it is not possible for the letter to accompany the application, the proposal should discuss the status of the institution's progress in securing this statement.

Wage Rates for Renovation Projects

In preparing your proposal and projecting your budget, be advised that any renovation projects funded, in whole or in part, by federal funds are subject in their entirety to the Davis-Bacon Act as amended, 40 U.S.C. 276a-276a-5.

Examples: A museum plans to renovate a facility for the storage of its material culture collection and requests a grant from the NEH in the sum of \$2 million (\$1 million NEH funds and \$1 million in cost share) to support part of the renovation of this \$5 million project. If the grant is awarded, the entire project (i.e. \$5 million) is subject to the Davis-Bacon Act.

A museum is planning to renovate its storage facility and purchase new storage cabinets for its material culture collection. The grant request is for a total of \$500,000 (\$250,000 NEH funded and \$250,000 cost sharing). The \$500,000 will cover the costs of the cabinets and staff time for transferring the collection from the old to the new cabinets. The renovation costs are being covered by the museum and do not appear in the proposal's budget. No grant funds contribute directly to renovation costs, and so the Davis-Bacon Act would not apply.

Additional information is available by contacting the U.S. Department of Labor, Wage and Hour Division, Division of Contract Standards and Operations, 200 Constitution Avenue, NW, Washington, D.C., 20210.

Bid Guarantees and Bonding Requirements

Grantees whose contracts for construction or facility improvements exceed \$100,000 are required to obtain a bid guarantee from each bidder equivalent to 5 percent of the bid price. The grantee must also require contractors to have both performance and payment bonds for 100 percent of the contract price (OMB Circular A-110, Subpart C, Section 48(c) and OMB Circular A-102, Section 36 (h)).

"The cost-plus-a-percentage-of-cost" or "percentage of construction cost" methods of contracting may not be used.

Education and Training Projects

Discuss the national or regional needs that the program will serve, its intended audience, its potential impact on preservation practices, and the nature of the institutions and collections that will benefit from the proposed program. Describe the degree to which this program relates to other programs of a similar nature that now exist or have been mounted in the past and whether this program will break new ground.

Provide a thorough description of the program's curriculum and content and its relevance to the educational needs of its intended audience. Discuss the rationale for materials chosen, the expected results of the program, any costs for attendance, how the program will be evaluated, and how information about the program's content will be disseminated to the field. Course syllabi should be included as an appendix to the proposal.

Proposals for regional preservation services must, in addition, incorporate a detailed account of each type of service or activity that will be implemented during the period of the grant, (including procedures to be followed, the fees to be charged for the services, and how many institutions would ultimately benefit over the course of the grant).

All proposals in this category should describe how the activities and impact of these programs will be evaluated by participants and by the applicant organization.

Research and Demonstration Projects

Applicants to this category must provide a clear account of the history of the issue or problem and the reasons why the project is a high, national priority for preservation and access activities.

Projects that concern the development of procedures, a consensus of best practice, or national standards should be guided by a committee of advisors representative of the profession. Projects to create reference manuals for the profession should reflect the collective knowledge and judgment of a group of experts representing the field that the finished publication is designed to serve.

All proposals for research and demonstration projects should contain

All proposals for education and training projects should describe how the activities and impact of these programs will be evaluated by participants and by the applicant organization.

Where appropriate, the proposal's initial appendix should have representative samples that show the final or anticipated form of the work. Applicants should preface such examples with explanatory notes.

appropriate plans for consultation with the field as well as for the evaluation and dissemination of the project's results.

While the Endowment will solicit reviews from persons competent to assess the technical aspects of a project, members of a peer review panel will represent a variety of professional backgrounds. A proposal should, therefore, be written so that it can be understood by persons who may not have the same technical awareness as the applicant.

Research Tools and Reference Works

Applicants should discuss the relation of the project to any analogous works in the field or to a larger undertaking of which it may be a part. Define the need and potential audience for the project and provide estimates of the number of probable users, subscribers, or purchasers.

Include specific information on the criteria determining the selection of the materials for inclusion in the project, as well as the content, form, and length of entries or citations. (Sample entries should be included in an appendix.) Discuss the editorial procedures for writing and verification, and indicate clearly who will bear the final editorial control over the completed product. Explain the provisions for updating the information.

Applicants seeking support for the preparation of **linguistic reference materials** must, in addition to engaging standard methodological issues, discuss the distinctive importance of the language or of the approach taken to the language. Applicants seeking support to create Native American language dictionaries or other materials that are intended to recover the linguistic heritage of American Indian tribes should be aware that the Administration for Native Americans in the Department of Health and Human Services funds language projects through the Native American Language Act of 1992. (For information, contact the Administration for Native Americans, 200 Independence Avenue, SW, Washington, D.C., 20201; or telephone 202/690-7776.)

Proposals to create **bibliographies or guides** should indicate whether items that fall into the purview of the work will be examined by the project's staff and whether the final product will specify the location of copies. Applicants should describe the research strategy for finding and examining materials and justify the inclusion or omission of abstracts, annotations, or essays.

Appendices

Where appropriate, the proposal's initial appendix should have **representative samples that show the final or anticipated form of the work.**

Applicants should preface such examples with explanatory notes.

Proposals for preserving or creating access to collections should supply information relevant to the project about the applicant institution's mission, holdings, staff, budget, and preservation and access policies and activities.

This attachment should not exceed two pages.

Brief résumés (no longer than two pages) for staff with major responsibilities for the project's implementation should be included in an appendix. Job descriptions for any additional staff who will be hired specifically to work on the project should also be supplied in an appendix.

Other appendices, apart from those specified here, should be limited to supplementary but essential material, such as job descriptions for new positions, letters of commitment from outside participants and cooperating institutions, and (if desired) letters of support.

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is fifteen hours per response. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Director of the Office of Publications, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.

INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET

Block 1. Project Director/Individual Applicant

Item a. Enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. This person's résumé should be included as an appendix. (Information about the institution is also requested in Blocks 2 and 11.)

Item b. In the space provided, enter the number corresponding to the project director's preferred form of address:

1-Mr. 2-Mrs. 3-Miss 4-Ms. 5-Professor 6-Dr.

Item c. Enter the project director's full telephone number with area code and, if applicable, extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left. Enter FAX or E-Mail numbers if applicable.

Item d. (To be completed only for applications submitted by individuals.) If possible, indicate the code for the appropriate major field from the list of Field of Project Categories and Codes on the reverse side of the NEH Cover Sheet.

Item e. (To be completed only for applications submitted by individuals.) If a foreign national, check "Other" and specify the month and year in which you came most recently to reside in the United States.

Block 2. Type of Applicant

Check either (a) or (b).

Only an applicant applying as an unaffiliated individual should check the "individual" box. A project director affiliated with an institution must apply through that institution if the project will make use of the institution's resources, for example, the library, computer center, office space, clerical assistance, etc. If the project does not use such resources, the project director may apply as an individual; but in such cases the Endowment must receive a statement from the institution indicating awareness of the project director's submission of an application.

For those who checked (a) ONLY: Please indicate an institutional affiliation, if applicable, in Block 11a.

For those who checked (b) ONLY: Identify *Type* such as business, religious, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational (elementary/secondary schools district, 2-year college, 4-year college, etc.), library (public, research, etc.), center (advanced study, research, etc.). Identify *Status* as either private nonprofit or unit of state or local government. Example: *Type*: Historical Society. *Status*: Private Nonprofit.

Block 3. Type of Application

Check the appropriate type:

Item a. *New*--applicants requesting a new period of funding, whether for a new project or for a project previously funded by NEH, should check this box.

Item b. *Supplement*--applicants requesting additional funding to a current NEH grant should check this box.

Block 4. Program to which Application is being made

The title of the program is preprinted.

Block 5. Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

Block 6. Project Funding

Enter here the appropriate figures from the project budget that is part of your application.

Block 7. Field of Project

Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the *specific* humanities field that best describes the content of the project.

Block 8. Descriptive Title of Project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. NEH is obliged to be as clear as possible to the public about awards that it makes. The descriptive title will be used for this purpose whenever possible, but the Endowment staff may assign a different working title.

Block 9. Description of Project

Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10. Will This Proposal Be Submitted to Another Government Agency or Private Entity for Funding?

If yes, indicate the agencies or entities to which it will be submitted.

Block 11. Institutional Data

Item a. Indicate the name of the institution and the city and state of its official mailing address.

Item b. Enter the institution's employer identification number.

***P**rivacy Act. This information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.*

Item c. Indicate the name and title of the person who is authorized to submit applications on behalf of the institution or organization and to provide the certifications required in Block 12.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant if an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person authorized to submit an application (see item c), but the actual administration of the project--such as, negotiating the project budget and ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12. Certifications

The Endowment is required by government-wide regulations to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes. When an applicant requests more than \$100,000 in grant funds, it must also certify that no federal funds have or will be paid to any person to influence the funding decision for the specific proposal that is being submitted for consideration. In the unlikely event that an NEH applicant has used or plans to use nonfederal funds for this purpose, it must request, complete, and submit a standard disclosure form. These certifications, which appear in the Appendix to the guidelines, should be read before Block 12 of the application cover sheet is signed. More information on these certifications is available from the NEH website, <http://www.neh.gov>, or from the NEH Grants Office, room 311, Washington, D.C. 20506, 202/606-8494.

**DIVISION OF PRESERVATION AND ACCESS
APPLICATION COVER SHEET**

| | | | | | | | | | | | | | | | | |
|--|--|-------------------|----|--|------------------|----|--|-------------------|----|--|-----------------|----|--|------------------------|----|--|
| 1 Project director a. Name and mailing address: <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (last) (first) (initial) </div> <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (city) (state) (zip code) </div> b. Form of address: _____ c. Telephone numbers: Office: _____ / _____ Home: _____ / _____ <div style="display: flex; justify-content: space-between; font-size: x-small;"> (area code) (area code) </div> FAX: _____ / _____ Email: _____ <div style="display: flex; justify-content: space-between; font-size: x-small;"> (area code) </div> d. Major field : _____ e. Citizenship: <input type="checkbox"/> U.S. <input type="checkbox"/> Other: _____ <div style="display: flex; justify-content: space-between; font-size: x-small;"> (country) (month/year) </div> | 2 Type of applicant a. <input type="checkbox"/> by an individual b. <input type="checkbox"/> through an organization if a , indicate institutional affiliation, if applicable, on line 11 if b , complete block 11 below and indicate here: c. Type: _____ d. Status: _____ <hr/> 3 Type of application a. <input type="checkbox"/> new b. <input type="checkbox"/> supplement if b , indicate previous grant number _____ <hr/> 4 Program to which application is being made Division of Preservation and Access <hr/> 5 Requested grant period From: _____ To: _____ <hr/> 6 Project funding <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">a. Outright funds</td> <td style="width: 10%; text-align: right;">\$</td> <td style="width: 30%; border-bottom: 1px solid black;"></td> </tr> <tr> <td>b. Federal match</td> <td style="text-align: right;">\$</td> <td style="border-bottom: 1px solid black;"></td> </tr> <tr> <td>c. Total from NEH</td> <td style="text-align: right;">\$</td> <td style="border-bottom: 1px solid black;"></td> </tr> <tr> <td>d. Cost sharing</td> <td style="text-align: right;">\$</td> <td style="border-bottom: 1px solid black;"></td> </tr> <tr> <td>e. Total project costs</td> <td style="text-align: right;">\$</td> <td style="border-bottom: 1px solid black;"></td> </tr> </table> | a. Outright funds | \$ | | b. Federal match | \$ | | c. Total from NEH | \$ | | d. Cost sharing | \$ | | e. Total project costs | \$ | |
| a. Outright funds | \$ | | | | | | | | | | | | | | | |
| b. Federal match | \$ | | | | | | | | | | | | | | | |
| c. Total from NEH | \$ | | | | | | | | | | | | | | | |
| d. Cost sharing | \$ | | | | | | | | | | | | | | | |
| e. Total project costs | \$ | | | | | | | | | | | | | | | |
| 7 Field of project <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="text-align: center; font-size: x-small;">(code)</div> | 8 Descriptive title of project <div style="border-bottom: 1px solid black; height: 40px;"></div> | | | | | | | | | | | | | | | |
| 9 Description of project (do not exceed space provided) <div style="border-bottom: 1px solid black; height: 150px;"></div> | | | | | | | | | | | | | | | | |

10 Will this proposal be submitted to another government agency or private entity for funding? (If yes, indicate where and when)

| | | |
|---|--|--|
| 11 Institutional Data a. Institution or organization: <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (name) </div> <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (city) (state) </div> b. Employer identification number: _____ c. Name of authorizing official: <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (last) (first) (initial) </div> <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="text-align: center; font-size: x-small;">(title)</div> | | d. Name and mailing address of institutional grant administrator: <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (last) (first) (initial) </div> <div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="display: flex; justify-content: space-between; font-size: small;"> (city) (state) (zip code) </div> Telephone: _____ / _____ Form of Address: _____ <div style="display: flex; justify-content: space-between; font-size: x-small;"> (area code) </div> FAX: _____ / _____ Email: _____ <div style="display: flex; justify-content: space-between; font-size: x-small;"> (area code) </div> |
|---|--|--|

12 Certification. By signing this application, the individual or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities as set forth in the appendix to these guidelines.

(printed name)
(signature)
(date)

Field of Project Categories and Codes

The following categories and codes should be used to complete blocks 1d and 7 of the NEH Application Cover Sheet. If no exactly appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by the NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.)

| | | | |
|--|-----------|---|-----------|
| Anthropology | L1 | Languages | C1 |
| Archaeology | U6 | Ancient | CC |
| Archival Management/ Conservation | I1 | Asian | CA |
| Arts/History and Criticism | MA | Classical | C2 |
| Architecture: History & Criticism | U3 | Comparative | C9 |
| Art: History & Criticism | M1 | English | CE |
| Dance: History & Criticism | M3 | French | C3 |
| Film: History & Criticism | M4 | German | C4 |
| Music: History & Criticism | M5 | Italian | C5 |
| Theater: History & Criticism | M2 | Latin American | C6 |
| Communications | P2 | Near Eastern | CB |
| Composition & Rhetoric | P1 | Slavic | C7 |
| Journalism | P4 | Spanish | C8 |
| Media | P3 | Law/Jurisprudence | Q1 |
| Education | H1 | Library Science | HB |
| Ethnic Studies | K1 | Linguistics | J1 |
| Asian American | K5 | Literature | D1 |
| Black/African-American | K4 | African | DK |
| Hispanic American | K3 | American | DE |
| Jewish | K6 | Ancient | DC |
| Native American | K2 | Asian | DA |
| History | A1 | British | DD |
| African | A2 | Classical | D2 |
| American | A3 | Comparative | D9 |
| Ancient | AC | French | D3 |
| British | A4 | German | D4 |
| Classical | A5 | Italian | D5 |
| European | A6 | Latin American | D6 |
| Far Eastern | A7 | Literary Criticism | DI |
| Latin American | A8 | Near Eastern | DB |
| Near Eastern | A9 | Slavic | D7 |
| Russian | AA | Spanish | D8 |
| South Asian | AB | Museum Studies/Historic Preservation | I2 |
| Humanities | U8 | Philosophy | B1 |
| Interdisciplinary | U1 | Aesthetics | B2 |
| African Studies | G1 | Epistemology | B3 |
| American Studies | G3 | Ethics | B4 |
| Area Studies | GH | History of Philosophy | B5 |
| Asian Studies | G5 | Logic | B6 |
| Classics | G7 | Metaphysics | B7 |
| Folklore/Folklife | R1 | Non-Western Philosophy | B8 |
| History/Philosophy of Science, Technology, or Medicine | GA | Religion | E1 |
| International Studies | GG | Comparative Religion | E5 |
| Labor Studies | G4 | History of Religion | E2 |
| Latin American Studies | GJ | Non-Western Religion | E4 |
| Medieval Studies | G8 | Philosophy of Religion | E3 |
| Regional Studies | GF | Social Science | U2 |
| Renaissance Studies | G9 | American Government | F2 |
| Rural Studies | GC | Economics | N1 |
| Urban Studies | G2 | Geography | U7 |
| Western Civilization | GB | International Relations | F3 |
| Women's Studies | G1 | Political Science | F1 |
| | | Psychology | U5 |
| | | Public Administration | F4 |
| | | Sociology | S1 |

BUDGET INFORMATION, INSTRUCTIONS, AND FORMS

Project Budget

The Budget Form and instructions for completing it follow.

Types of Grant Support. The Endowment supports projects with outright funds, matching funds, and a combination of the two.

Outright Funds: Outright funds are awarded by the Endowment to support approved projects and are not contingent on additional fund raising by the grantees.

Matching Funds: Matching funds, by contrast, require a grantee to secure gift funds from third parties before federal funds are awarded. Endowment matching grants are made on a one-to-one basis and are intended to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts.

Because matching awards enable the Endowment to provide support to a greater number of significant but often costly projects, applicants are encouraged to request complete or partial support in the form of matching grants. Whenever possible, applicants requesting matching funds should identify potential sources of gift funds at the time they submit an application to the Endowment. (See Eligible Gifts and Donors on page 24).

Combined Funds: Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$40,000, and the applicant expects to receive an additional \$5,000 from an eligible third-party donor, the applicant should request \$5,000 in matching funds. The balance of the project's costs (\$30,000) may be requested in outright funds.

The Endowment may offer funding at a different level than that requested. In some instances, the Endowment may offer match-matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds.

Cost Sharing. Because of the limited funds available for support of research, the Endowment normally can contribute only part of the funds needed to carry out projects. Cost sharing consists of the cash contributions made to

the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. Please refer to page 6, Size of Awards and Cost Sharing Expectations. Cost sharing in renewal applications is usually significantly higher than in the previous proposal. Individual applicants need not show cost sharing in their applications unless requesting federal matching funds, in which case the gifts are shown as cost sharing.

Grant Period. The grant period encompasses the entire period for which Endowment support is requested in the current application. All project activities and the expenditure of project funds must occur during the grant period.

Applicants for stabilization projects may request support for up to five years. Projects in other categories are normally two to three years in duration.

Eligible Gifts and Donors

For the purpose of the Endowment's gifts and matching program, a gift is a voluntary transfer of money (or a noncash contribution that is subsequently converted to cash) from a nonfederal third party to the applicant without compensation or consideration in return. Only gifts that will be used to support budgeted project activities during the grant period are eligible to be matched with federal funds. Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and will receive some sort of remuneration from project funds.

National Endowment for the Humanities

BUDGET INSTRUCTIONS

Before developing a project budget, applicants should review the sections on cost-sharing requirements, the different kinds of Endowment funding, limitations on the length of the grant period, and any restrictions on the types of costs that may appear in the project budget.

Requested Grant Period

Grant periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period.

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost-sharing).

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses that are included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined

as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be attached to the NEH budget. If there is more than one contractor, each must be budgeted separately on the NEH form and must have an attached itemization.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options:

1. The NEH will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, participant stipends, major subcontracts), up to a maximum total project charge of \$5,000 per year. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.)

2. If your organization wishes to use a rate higher than 10 percent or claim more than \$5,000 in indirect costs per year, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the application is approved for funding, you will be instructed to contact the NEH Office of the Inspector General to develop an indirect cost proposal.

SAMPLE BUDGET COMPUTATIONS

| | | | | | NEH Funds | Cost Sharing Total | |
|--|---------|---|--------------|--------------|-----------------|--------------------|-----------------|
| | | | | | (a) | (b) | (c) |
| Salaries and Wages | | | | | | | |
| Jane Doe/Project Director | [] | 9 months x 100% @ \$40,000/academic yr. | | | <u>\$20,000</u> | <u>\$20,000</u> | <u>\$40,000</u> |
| Jane Doe | [] | 1 summer month x 100% @ \$3,000 | | | <u>\$ 3,000</u> | | <u>\$ 3,000</u> |
| John Smith/Research Assistant | [] | 6 months x 50% @ \$30,000/yr. | | | <u>\$ 7,500</u> | | <u>\$ 7,500</u> |
| Secretarial Support | [] | 3 months x 100% @ \$20,000/yr. | | | <u>\$ 5,000</u> | | <u>\$ 5,000</u> |
| Fringe Benefits | | | | | | | |
| 15% of \$50,500 | | | | | <u>\$ 4,775</u> | <u>\$ 2,800</u> | <u>\$ 7,575</u> |
| 10% of \$ 5,000 | | | | | <u>\$ 500</u> | | <u>\$ 500</u> |
| Travel | | | | | | | |
| | no. of | total travel | subsistence | transport. | | | |
| | persons | days | costs | + costs = | | | |
| New York City/Chicago | [2] | [4] | <u>\$800</u> | <u>\$600</u> | <u>\$ 1,400</u> | | <u>\$ 1,400</u> |
| Various/Washington D.C. conf. | [5] | [10] | <u>\$750</u> | <u>\$500</u> | <u>\$ 1,250</u> | | <u>\$ 1,250</u> |
| Consultant Fees | | | | | | | |
| Epistemologist | 5 days | @ \$100/day | | | <u>\$ 500</u> | | <u>\$ 500</u> |
| Services | | | | | | | |
| Long Distance Telephone | | est. 40 toll calls @ \$3.00 | | | <u>\$ 120</u> | | <u>\$ 120</u> |
| Conference Brochure | | 50 copies @ \$3.50/copy | | | <u>\$ 175</u> | | <u>\$ 175</u> |
| TOTAL DIRECT COSTS | | | | | <u>\$44,220</u> | <u>\$22,800</u> | <u>\$67,020</u> |
| Indirect Costs | | | | | | | |
| 20% of \$67,020 | | | | | <u>\$ 8,850</u> | <u>\$ 4,554</u> | <u>\$13,404</u> |
| TOTAL PROJECT COSTS (Direct and Indirect) | | | | | <u>\$53,070</u> | <u>\$27,354</u> | <u>\$80,424</u> |

National Endowment for the Humanities
BUDGET FORM

OMB No. 3136-0134
Expires 6/30/03

| | |
|------------------------|---|
| Project Director | If this is a revised budget, indicate the NEH application/grant number: |
| Applicant Organization | Requested Grant Period FROM _____ THRU _____ mo/yr mo/yr |

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. **FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C.** The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

When the requested award period is eighteen months or longer, separate budgets for each twelve-month period of the project must be developed on duplicated copies of the budget form.

SECTION A - budget detail for the period FROM _____ THRU _____
mo/yr mo/yr

1. Salaries and Wages. Provide the names and titles of principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year.

| name/title of position | no. | method of cost computation (see sample) | NEH Funds (a) | Cost Sharing (b) | Total (c) |
|------------------------|-------|--|------------------|---------------------|--------------|
| _____ | [] | _____ | \$ _____ | \$ _____ | \$ _____ |
| _____ | [] | _____ | _____ | _____ | _____ |
| _____ | [] | _____ | _____ | _____ | _____ |
| _____ | [] | _____ | _____ | _____ | _____ |
| _____ | [] | _____ | _____ | _____ | _____ |
| _____ | [] | _____ | _____ | _____ | _____ |
| _____ | [] | _____ | _____ | _____ | _____ |
| SUBTOTAL | | | \$ _____ | \$ _____ | \$ _____ |

2. Fringe Benefits. If more than one rate is used, list each rate and salary base.

| rate | salary base | (a) | (b) | (c) |
|------------|-------------|----------|----------|----------|
| _____ % of | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| _____ % of | \$ _____ | _____ | _____ | _____ |
| SUBTOTAL | | \$ _____ | \$ _____ | \$ _____ |

3. Consultant Fees. Include payments for professional and technical consultants and honoraria.

| name or type of consultant | no. of days on project | daily rate of compensation | (a) | (b) | (c) |
|----------------------------|---------------------------|-------------------------------|----------|----------|----------|
| _____ | _____ | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| _____ | _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ | _____ |
| SUBTOTAL | | | \$ _____ | \$ _____ | \$ _____ |

4. Travel. For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

| from/to | no. persons | total travel days | subsistence costs | + | transportation costs | = | NEH Funds (a) | Cost Sharing (b) | Total (c) |
|----------|----------------|-------------------------|----------------------|---|-------------------------|---|------------------|---------------------|--------------|
| _____ | [] | [] | \$ _____ | | \$ _____ | | \$ _____ | \$ _____ | \$ _____ |
| _____ | [] | [] | _____ | | _____ | | _____ | _____ | _____ |
| _____ | [] | [] | _____ | | _____ | | _____ | _____ | _____ |
| _____ | [] | [] | _____ | | _____ | | _____ | _____ | _____ |
| _____ | [] | [] | _____ | | _____ | | _____ | _____ | _____ |
| _____ | [] | [] | _____ | | _____ | | _____ | _____ | _____ |
| _____ | [] | [] | _____ | | _____ | | _____ | _____ | _____ |
| SUBTOTAL | | | | | | | \$ _____ | \$ _____ | \$ _____ |

5. Supplies and Materials. Include consumable supplies, materials to be used in the project and items of expendable equipment; i.e., equipment items costing less than \$5,000 and with an estimated useful life of less than one year.

| item | basis/method of cost computation | (a) | (b) | (c) |
|----------|----------------------------------|----------|----------|----------|
| _____ | _____ | \$ _____ | \$ _____ | \$ _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| SUBTOTAL | | \$ _____ | \$ _____ | \$ _____ |

6. Services. Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts provide an itemization of subcontract costs on this form or on an attachment.

| item | basis/method of cost computation | (a) | (b) | (c) |
|----------|----------------------------------|----------|----------|----------|
| _____ | _____ | \$ _____ | \$ _____ | \$ _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| SUBTOTAL | | \$ _____ | \$ _____ | \$ _____ |

7. Other Costs. Include participant stipends and room and board, equipment purchases, and other items not previously listed. Please note that "miscellaneous" and "contingency" are not acceptable budget categories. Refer to the budget instructions for the restriction on the purchase of permanent equipment.

| item | basis/method of cost computation | NEH Funds (a) | Cost Sharing (b) | Total (c) |
|----------|----------------------------------|------------------|---------------------|--------------|
| _____ | _____ | \$ _____ | \$ _____ | \$ _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ | _____ |
| SUBTOTAL | | \$ _____ | \$ _____ | \$ _____ |

8. Total Direct Costs (add subtotals of items 1 through 7)

\$ _____ \$ _____ \$ _____

9. Indirect Costs (This budget item applies only to institutional applicants.)

If indirect costs are to be charged to this project **CHECK THE APPROPRIATE BOX BELOW** and provide the information requested. Refer to the budget instructions for explanations of these options.

- ☐ Current indirect cost rate(s) has/have been negotiated with federal agency. (Complete items A and B.)
- ☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)
- ☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)
- ☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of \$5,000 per year. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or \$5,000, whichever sum is less.)

A. _____
name of federal agency date of agreement

| B. | rate(s) | base(s) | NEH Funds (a) | Cost Sharing (b) | Total (c) |
|----------------------|------------|----------|------------------|---------------------|----------------|
| | _____ % of | \$ _____ | \$ _____ | \$ _____ | \$ _____ |
| | _____ % of | \$ _____ | _____ | _____ | _____ |
| TOTAL INDIRECT COSTS | | | \$ _____ | \$ _____ | \$ _____ |

10. Total Project Costs (direct and indirect) for Budget Period

\$ _____ \$ _____ \$ _____

SECTION B - Summary Budget and Project Funding**SUMMARY BUDGET**

Transfer from section A the total costs (column c) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

| Budget Categories | First Year/ from: thru: | Second Year/ from: thru: | Third Year/ from: thru: | TOTAL COSTS FOR ENTIRE GRANT PERIOD |
|--|--|---|--|--|
| 1. Salaries and Wages | \$ _____ | \$ _____ | \$ _____ | = \$ _____ |
| 2. Fringe Benefits | _____ | _____ | _____ | = _____ |
| 3. Consultant Fees | _____ | _____ | _____ | = _____ |
| 4. Travel | _____ | _____ | _____ | = _____ |
| 5. Supplies and Materials | _____ | _____ | _____ | = _____ |
| 6. Services | _____ | _____ | _____ | = _____ |
| 7. Other Costs | _____ | _____ | _____ | = _____ |
| 8. Total Direct Costs (items 1-7) | \$ _____ | \$ _____ | \$ _____ | = \$ _____ |
| 9. Indirect Costs | \$ _____ | \$ _____ | \$ _____ | = \$ _____ |
| 10. Total Project Costs (Direct & Indirect) | \$ _____ | \$ _____ | \$ _____ | = \$ _____ |

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

| | | | |
|------------------------|----------|-----------------------|----------|
| 1. Requested from NEH: | | 2. Cost Sharing: | |
| Outright | \$ _____ | Cash Contributions | \$ _____ |
| Federal Matching | \$ _____ | In-Kind Contributions | \$ _____ |
| TOTAL NEH FUNDING | \$ _____ | Project Income | \$ _____ |
| | | TOTAL COST SHARING | \$ _____ |

3. Total Project Funding (NEH Funds + Cost Sharing) = \$ _____

1. Indicate the amount of outright and/or federal matching funds that is requested from the Endowment.

2. Indicate the amount of cash contributions that will be made ready by the applicant or third parties to support project expenses that appear in the budget. Include in this amount third-party cash gifts that will be raised to release federal matching funds. (Consult the program guidelines for information on cost sharing requirements.)

Occasionally, in-kind (noncash) contributions from third parties are included in a project budget as cost sharing; e.g., the value of services or equipment that is donated to the project free of charge. If this is the case, the total value of in-kind contributions should be indicated.

When a project will generate income that will be used during the grant period to support expenses listed in the budget, indicate the amount of income that will be expected on budgeted project activities.

3. Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator/Individual Applicant. Provide the information requested below when a revised budget is submitted. The signature of this person indicates approval of the budget submission and the agreement of the organization/individual to cost share project expenses at the level indicated under 'Project Funding.'

Name and Title (please type or print)

Telephone (_____) _____

Signature

Date _____



Institution: _____
Project Director: _____

LIST OF PROJECT CONSULTANTS/MEMBERS OF ADVISORY BOARD

Please list consultants to the project, members of the project's advisory board, and authors of letters of support. The names of the project's staff do not need to be listed.

STATEMENT OF HISTORY OF GRANTS

If the project has received previous support from any federal or nonfederal sources, including the Endowment, please list below the individual sources of these funds as well as the date and total dollar amount of each contribution to the project. If the project has had a long history of support, the sources and contributions may be grouped and summarized so that the list will not exceed one page.

LIST OF SUGGESTED EVALUATORS

Applicant Institution:

Please list the names, addresses, and telephone numbers of up to eight potential evaluators. Briefly indicate each individual's appropriateness as an evaluator of the proposal; for example, a scholar who has used the collection or knows the subject area, technical specialist, etc.

Please do not include persons who might have a conflict of interest reviewing the proposal. For example, do not suggest any persons who would receive compensation from their participation in the project, who were consulted during the preparation of the application, or who have written letters of support that are included in the application.

Applicants should not discuss a proposal with suggested evaluators.

APPENDIX

Certification Instructions

Certifications. In submitting an application to NEH, all applicants are required to certify (by signing Block 12 of the application cover sheet) that they are not presently debarred, suspended, declared ineligible, or voluntarily excluded from participating in federally funded programs; are not currently delinquent in the payment of a federal debt; and, if the project is funded by NEH, will have a drug-free workplace program in place within thirty (30) days of the issuance of an award. Institutional applicants must further certify that they are in compliance with the nondiscrimination statutes and NEH's implementing regulations. Finally, when applicants request more than \$100,000 in grant funds, they must certify that no federal funds have or will be paid to persons to influence the funding decision (lobby) for the proposal that is being submitted for consideration.

These certifications are material representations of fact upon which the Endowment will rely in making funding decisions. If it is later determined that the applicant knowingly provided an erroneous certification or did not comply with the requirements, the Endowment may seek judicial enforcement of the certification or may suspend or terminate the award.

Applicants who cannot certify regarding compliance with the nondiscrimination statutes, the establishment of a drug-free workplace program, or the prohibition on lobbying are **not** eligible to apply for funding from NEH. Although applicants who are unable to certify regarding federal debt status or debarment and suspension are technically eligible to submit an application to NEH as long as they provide a written explanation of their status, they are advised to discuss their particular situation with program staff before beginning work on their proposal.

Applicants who plan to use awards to fund **subgrants, contracts, and subcontracts** should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from **institutional** applicants and contractors, and
- (2) certification regarding lobbying from those requesting in excess of \$100,000 in grant funds, and
- (3) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required **to include without modification** the following wording in solicitations for all **grant** proposals and for contracts that are expected to equal or exceed \$100,000:

(a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Additional information on the certification requirements is available on the NEH World Wide Web site, <http://www.neh.gov>, or from the NEH Grants Office, Room 311, Washington, D.C. 20506 (202/606-8494).

The text of the certifications follows:

1. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations (Applies to Recipients Other than Individuals). The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status. The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169). The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988).

Alternate I. (Applies to Grantees Other Than Individuals)

(A) The grantee certifies that it will provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibitions;

(b) establishing an ongoing drug-free awareness program to inform employees about (1) the dangers of drug abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

Alternate II. (Applies to Grantees Who Are Individuals)

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of \$100,000). The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or

an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

APPLICATION CHECKLIST FOR PRESERVATION AND ACCESS

1. FIFTEEN copies of the application package, each copy including, in this order:

- _____a) The NEH Application Cover Sheet (original signed in ink by an authorizing official)
- _____b) Summary of Project
- _____c) Table of Contents
- _____d) Narrative Description
- _____e) Budget
- _____f) Appendices
- _____g) History of Grants

2. And, attached only to the original:

- _____a) List of Project Consultants (two copies)
- _____b) List of Suggested Evaluators (three copies)
- _____c) Two extra copies of the signed application Cover Sheet

All pages of the proposal, including appendices, should be typed single-spaced on one side and numbered consecutively. Applications should be stapled or clipped, but not enclosed in bulky binders. The receipt of a proposal will be acknowledged by postcard within six weeks of the application deadline. Applicants who do not receive such a confirmation should write or call the Endowment as soon as possible.

NEH will not accept applications sent via FAX machine or electronic mail.

Please remember that the deadline for postmark of proposals is July 1.

Send applications to:

National Endowment for the Humanities
Division of Preservation and Access
1100 Pennsylvania Avenue, N.W., Room 411
Washington, DC 20506

EQUAL OPPORTUNITY STATEMENT

Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, DC 20506. TDD: 202/606-8282 (this is a special Telephone Device for the Deaf).